

<b>Version</b>	1.0
<b>Short description</b>	This policy outlines the expectations and responsibilities in relation to applying for, acceptance of, and management of external research funds.
<b>Relevant to</b>	All staff, adjunct/conjoint appointments, students, HDR candidates and volunteers who conduct research or contribute to research at Avondale University.
<b>Authority</b>	Executive Committee
<b>Policy owner</b>	Chief Financial & Operations Officer
<b>Responsible office</b>	Finance Office
<b>Date approved</b>	22 May 2023
<b>Date effective</b>	30 May 2023
<b>Review due</b>	May 2028
<b>Related Avondale documents</b>	Fraud Policy
<b>Related legislation</b>	Tertiary Education Quality and Standards Agency Act 2011 Higher Education Support Act 2003
<b>Key words</b>	acquittal, funding, grant, research, research proposal

## 1. PURPOSE

- 1.1 Avondale University (Avondale) aims to actively support researchers who seek external funding to support their research endeavours. Further to this, Avondale will be fiscally accountable and transparent in the way in which it allocates, manages, monitors and reports its activities and outcomes.
- 1.2 This document outlines Avondale's policy pertaining to applying for, acceptance of and management of funds for research activity from external sources.

## 2. SCOPE

- 2.1 This policy applies to
  - all staff, adjunct/conjoint appointments, students, HDR candidates and volunteers who conduct research or contribute to research at Avondale;
  - the Finance Office in relation to the management of research funds; and
  - research funding obtained from sources external to Avondale.

## 3. REFERENCES

- 3.1 This policy should be read in conjunction with the Fraud Policy.

## 4. DEFINITIONS

- 4.1 **Administering organisation:** an organisation which submits a proposal for funding.
- 4.2 **Direct costs:** costs directly attributable to undertaking the project including salaries and salary on-costs of staff employed on the project, consumables, travel, equipment purchases and other maintenance costs etc.
- 4.3 **Funding agreement:** an agreement for the provision of research activities under specified negotiated terms and conditions in exchange for specified deliverables, signed by all parties. For research conducted by Avondale researchers funding agreements must include one or more of the following:
  - formal contractual agreements, including those requiring execution under seal
  - letters of agreement
  - variations
- 4.4 **Funding body:** an organisation or agency that provides funds for the purpose of conducting or supporting research activities.
- 4.5 **Indirect costs:** infrastructure and overhead costs incurred by Avondale in support of research, including but not limited to existing facilities and equipment (e.g. laboratory and office space), technical and administrative support, libraries, computer services, telecommunications, power and lighting, and building maintenance and cleaning.
- 4.6 **In-kind support:** contribution of goods or services other than money (e.g. voluntary assistance and the use of facilities or equipment)
- 4.7 **Lead Investigator:** the researcher with ultimate responsibility for the conduct of research on a research project. Lead Investigators may adopt alternative role titles such as Chief

Investigator, Principal investigator or Research Supervisor but must uphold the responsibilities of Lead Investigator as outlined in this policy.

- 4.8 **Partner/collaborating organisation:** generally refers to organisations who are listed on the proposal and will contribute to the development, delivery and outcomes of the research. Partnership, roles, activities and contributions, including cash and/or in-kind, are agreed to via a contract/agreement signed by all parties.
- 4.9 **Proposal or research proposal:** pre-award documentation for a research project submitted to an external funding body for consideration of award. This may be in the form of a prescribed competitive funding application, university-initiated proposal or draft contract.
- 4.10 **Variation:** any formal change to a project that is agreed upon by all parties via an approved, signed agreement or formal correspondence. This may include changes to project budget, timeframe or milestones.

## 5. POLICY

- 5.1 Proposals for external research funding must first be endorsed by the Dean (Research).
- 5.2 The Dean (Research) is responsible for ensuring the project aligns with Avondale's Strategic Plan and Research Plan and is academically and financially acceptable. This will be determined in consultation with the Executive Dean and the Chief Financial & Operations Officer (CFOO).
- 5.3 All proposals for external funding must comply with Avondale policies and procedures and follow the relevant guidelines and funding rules of the funding body.
- 5.4 Research Services is available to support staff in the development of their proposal.
- 5.5 Once the Dean (Research) has provided endorsement, all proposals and related documents must be lodged with Research Services and tabled at the Research Committee for approval. This should be completed 5 working days prior to the submission deadline set by the funding body.
- 5.6 All contracts, agreements and variations must be reviewed and approved by the Provost and the CFOO.
- 5.7 Any changes to the approved research project must be documented in a revised contract/funding agreement or variation following a formal request either from the Lead Investigator, funding body or partner organisation.
- 5.8 The Lead Investigator must ensure the approved research project continues to comply with the contract/funding agreement and the specific rules of funding body, and Avondale's research policies and procedures. This includes obtaining ethical clearance where appropriate.
- 5.9 The Lead Investigator is responsible for meeting all milestones including submitting progress and final project reports. These reports and evidence of funding body acceptance must be lodged with Research Services and tabled at the Research Committee.
- 5.10 The Research Committee will submit an annual summary report to the Executive Committee outlining progress against, and outcomes of, research activities associated with external funding.

- 5.11 Research Services will coordinate compliance monitoring of each research project to ensure that it meets contractual requirements.
- 5.12 All research funds must be expended in accordance with the contract/funding agreement/variation and adhering to Avondale’s Fraud Policy.
- 5.13 Where specified within the contract/funding agreement, completed projects will go through a financial acquittal process, and any unspent funds must be distributed as per the contractual specifications.
- 5.14 The Finance Office will invoice funding bodies, and where applicable project partners/collaborators, for awarded funds and ensure project accounts are credited accordingly.

### Table of amendments

<b>Version Number</b>	1.0	<b>Replaces Version</b>	NEW
<b>Implementation Date</b>	30 May 2023	<b>Scheduled Review Date</b>	May 2028
<b>Approving Body</b>	Executive Committee	<b>Approval Date</b>	22 May 2023
<b>Policy Owner</b>	Chief Financial & Operations Officer	<b>Date first introduced</b>	
<b>Short description of amendment</b>			